



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
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Box PCT
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09/355.169

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| U.S. APPLICATION NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 09/355.169 | GRATION | R CASM114222 |

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| INTERNATIONAL APPLICATION NO. |
|-------------------------------|

PCT/AU98/00046

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|------------------|---------------|
| I.A. FILING DATE | PRIORITY DATE |
|------------------|---------------|

01/29/98 01/29/97

DATE MAILED: 08/18/99

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494), ☒ an Elected Office (37 CFR 1.495):

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

☐ a non-English language.

☒ English.

☐ Translation of the international application into English.

☐ Oath or Declaration of inventors(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☒ The International Preliminary Examination Report in English and its Annexes, if any.

☒ Translation of Annexes to the International Preliminary Examination Report into English.

☒ Preliminary amendment(s) filed 23 Jul 1999 and _____.

☐ Information Disclosure Statement(s) filed _____ and _____.

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed _____.

☐ Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report ☐ and copies of the references cited therein.

☐ Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice *MUST* be returned with this response.

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation
☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

Telephone: (703) _____ Processing

RECEIVED
DOCKETING
AUG 25 1999
CHRISTENSEN, O'CONNOR
JOHNSON & KINDNESS PLLC



430 Rec'd PCT/PTO 30 AUG 1999 PCT
BOX PCT

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED
OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

| | | |
|---|---------------------------|-----------------------|
| ATTORNEY'S DOCKET NUMBER | | |
| CASM-1-14222 | | |
| U.S. APPLICATION NO. (if known see 37 C.F.R. 1.5) | | |
| 09/355,169 | | |
| INTERNATIONAL APPLICATION NO. | INTERNATIONAL FILING DATE | PRIORITY DATE CLAIMED |
| P04847 | 29 January 1997 | 29 January 1997 |
| TITLE OF INVENTION | | |
| PRINTED MATTER PRODUCING REFLECTIVE INTAGLIO EFFECT | | |
| APPLICANT(S) FOR DO/EO/US | | |
| Securrency Pty Ltd. | | |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information by Express Mail:

- ☒ 1. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 37 U.S.C. 371.
- ☒ 2. An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☒ 3. An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included..
- ☒ 4. A copy of Notification of Missing Requirements under 35 U.S.C. 371 is enclosed.

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|--|---------------------|---------------------|---------------|--|--|
| <input checked="" type="checkbox"/> 5. The following fees are submitted: | | | | CALCULATIONS <small>PTO USE ONLY</small> | |
| BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5): Search Report has been prepared by the EPO or JPO \$840 International preliminary examination fee paid to USPTO (37 CFR 1.482) \$670 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$760 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$970 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$96 | | | | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$ | |
| Surcharge of \$130 for furnishing the oath or declaration later than ____ 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$130 | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | - 20 = | | X \$18 | \$ | |
| Independent claims | - 3 = | | X \$78 | \$ | |
| MULTIPLE DEPENDENT CLAIMS(S) (if applicable) | | | + \$260 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$130 | |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28). | | | | \$ | |
| SUBTOTAL = | | | | \$130 | |
| Processing fee of \$130 for furnishing the English translation later than ____ 20 30 months from the earliest claimed priority date (37 CFR 1.492(f)). + | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$130 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property | | | | \$40 | |
| TOTAL FEES ENCLOSED = | | | | \$170 | |
| | | | Amount to be: | \$ | |
| | | | refunded | | |
| | | | charged | \$ | |

☒ 6. A check in the amount of \$ 170.00 to cover the above fees is enclosed. Check No. 108530.

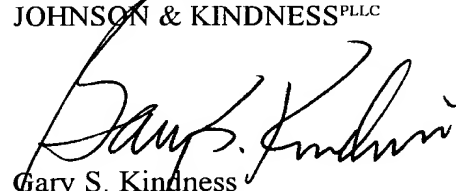
LAW OFFICES OF
 CHRISTENSEN O'CONNOR
 JOHNSON & KINDNESS^{PLLC}
 1420 Fifth Avenue
 Suite 2800
 Seattle, Washington 98101
 (206) 682-8100

- X 7. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-1740. A duplicate copy of this sheet is enclosed.

SEND ALL CORRESPONDENCE TO:

Gary S. Kindness
CHRISTENSEN O'CONNOR JOHNSON & KINDNESS^{PLLC}
1420 Fifth Avenue
Suite 2800
Seattle, WA 98101

Respectfully submitted,
CHRISTENSEN O'CONNOR
JOHNSON & KINDNESS^{PLLC}


Gary S. Kindness
Registration No. 22,178
Direct Dial (206) 695-1702

GSK/BCL:mlh/rss

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service in a sealed envelope as first class mail with postage thereon fully prepaid addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on 8/26/99

Date: August 23, 1999

